

## **COURSE OUTLINE**

### **Supervisor's Role in Probation**

#### **Target Audience**

This breakout course is intended for a target audience of line and entry-level probation supervisors participating in the Arizona Court Supervisor (ACS) Program. As such they should have a working knowledge of the basic probation administration, department mission, probation functions, chain of command and case management.

#### **Purpose / Learning Objectives**

Participants in this course would explore the supervisor's role in effective case management. Activities are designed to apply various case management tools to analyzing case management problems, and determine best practices.

Participants will be able to:

1. Participants can describe how the job as a supervisor differs from the responsibilities of other probation staff.
2. Participants will be able to describe differing assignments of a probation supervisor.
3. Participants will be able to identify the stakeholders.
4. Participants will be able to describe active or passive stakeholders and describe the role of each.
5. Participants will be able to discuss how probation culture and leadership impacts communication and decision making.
6. Participants will be able to discuss the history of Evidence Based Practices globally and locally.
7. Participants will be able to identify key processes within Evidence Based Practices that impact the effectiveness of case plans.
8. Participants will be able to identify the four most significant criminogenic needs.
9. Participants can articulate why assessment tools are necessary for good case planning.
10. Participants can demonstrate an ability to interpret assessment data and assign a ward/defendant to an appropriate level of supervision and services.
11. Participants will be able to identify the components of an effective case plan.
12. Participants can identify tools and resources that will assist officers with effective case management.

**Course Length:**      **8 hours**

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### **Supervisor's Role in Probation**

#### ***UNIT 1    (30 minutes)*** ***Supervisors' Roles***

#### **Learning Objectives**

Participants will be able to describe how the job as a supervisor differs from the responsibilities of other probation staff.

#### **Content**

##### ***Introductions/Activity***

1. In table groups participants will make a list of responsibilities of probation supervisors.
2. Faculty will ask participants to individually introduce themselves (name, department, area of responsibility) and will ask one person from the table group to list 3 responsibilities of supervisors.
3. Faculty will note the supervisory responsibilities.
  - a) How does your day-to-day work promote the department's mission and vision?
  - b) Quality Assurance
    - i. Case file Reviews
    - ii. Risk/Needs Assessments (are they being done correctly/timely?)
    - iii. Case Plan Development
    - iv. Documentation
    - v. Treatment Referrals
  - c) How to manage in a positive way
    - i. Positive reinforcement
    - ii. Strength based approach
    - iii. Setting the tone
  - d) Discuss transition from working with peers (who may have been friends) to supervising them. The "buddy to boss" transition.
    - i. Finding a balance
4. Activity: Ice Breaker - To be completed in table groups. List three positive and three negative traits of previous supervisors. Each group must contribute at least two traits and will not be permitted to repeat what another group offers.

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#### ***UNIT 2 (60 minutes)***

#### ***Supervisory Assignments and Interdependencies of Stakeholder Groups***

#### **Learning Objectives:**

Participants will be able to describe differing assignments of a probation supervisor.

Participants will be able to identify the stakeholders.

Participants will be able to define active or passive stakeholders and describe the role of each.

#### **Content:**

1. Identify supervisory assignments (short discussion). (15 mins)

List should include:

- a) PSI/Investigations/Pre-Trial Services
- b) Intensive Probation Supervision (IPS/JIPS)
- c) Standard Field
- d) Specialized Caseloads (SMI, Sex Offenders, DV, Drug Court, etc)
- e) Administrative Services (training, policy development, treatment services, etc)

2. Define Stakeholders. (15 mins)

Individuals, agencies, community members and organizations that are vested in program outcomes and offender behavioral change(s).

- a) Identify the difference between active and passive stakeholders (treatment providers, educational providers, attorneys)

3. Activity: Identify Diverse Roles in Probation (30 mins)

- a) Class will be moved into groups of four or five participants.
- b) Each group will be assigned a supervisory role from the list above.
- c) Based on their assignment, each group will identify their stakeholders, determine whether each is active or passive and explain why.

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#### **UNIT 3 (2 hours)**

***The supervisor's role in leadership, decision making and communication.***

#### **Learning Objectives**

Participants will be able to discuss how probation culture and leadership impacts communication and decision making.

#### **Activity:** Colors for Supervisors (1 hour)

1. Quick Review of Colors
2. Leadership Challenged Activity (Colors) (20 mins)

#### **Content**

1. Leadership : Define and discuss each as they apply to local departments (20 mins)
  - a) Culture. (Impact of judicial officers, high management, traditional culture that surrounds probation departments)
  - b) Chain of command vs. open-door policy. (hierarchy in probation culture, decisions that must be made at certain levels, protocol)
  - c) Establish and maintain credibility.
    - i. Be open, honest and straight-forward
    - ii. Be honest if you don't know or cannot comment.
    - iii. Bashing an idea in front of your staff can create animosity between supervisors
    - iv. PO's spend a good portion of each workday detecting untruths and will know when you are being dishonest
    - v. Promote the mission statement and values
    - vi. Be willing to listen to staff concerns
    - vii. Regarding new ideas or new programming – advise that we need to try it and explain why
    - viii. Follow-up by asking “how is that going for you?”
    - ix. Remember that everything is fluid. Be open to suggestions.
    - x. You are the PIO (public information officer) for your unit
    - xi. Follow-through with passing information up the chain of command
    - xii. Share the process. Information is shared with you.
    - xiii. Know your audience. Working with groups vs. individuals
  - d) Leading my unit – what is the culture in my unit?
  - e) Consideration of A.R.S. and ACJA
  - f) Consideration of county and/or department policies
  - g) Consideration of mission and vision
2. Decision Making: (20 mins) – Define and discuss the framework of a decision. What is the best way to prioritize decisions (triage) and when is the appropriate time to make a decision.
  - a) The foundations of decision:
    - i. Officer Safety / Community Safety and Rehabilitation of the Offender

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1. Imminent or Passive threats to the community
  2. Short term vs. long term threats
  3. What intervention strategies have you used to protect the community lieu of incarceration.
- ii. Acting as an Officer of the Court
  1. Code of Ethics
  2. Judicial Cannons
- b) How to avoid assuming.
  - i. You may or may not have all the facts. "Don't overreact, get the facts."
  - ii. Asking the right questions
- c) Time sensitive decisions.
  - i. What decisions have to be made NOW?
  - ii. Who needs to be notified?
  - iii. Who is affected by this decision?
- d) The headline test.
  - i. How will this decision look to the public?
  - ii. Is this decision good for the organization and the community?
- e) Do you have to get involved?
  - i. Is someone just venting?
  - ii. Is someone just looking for advice?
  - iii. Three ways to address conflict:
    1. Passively Monitor
    2. Mediate
    3. Set boundaries / rules
- f) Pressure of the learning curve.
  - i. Time is on your side. Learning is a lifelong process. Be a good student of the game. Your probation technical skills do not necessarily translate into competent leadership and people skills.
  - ii. Federal Probation has developed a three-phase leadership program that is two years to completion because they've determined that it takes two years to become a fully-functioning supervisor.
  - iii. High-performing officers promoted to supervisor are not necessarily a competent supervisor immediately. Circle back to the 'time is on your side' concept and that it is ok for total competency to take up to two years.
  - iv. Where do you get the answers you need to make decisions?
  - v. Who are your resources?
- g) Presentation of the decision.
  - i. "Get on board or get off the bus" style.
  - ii. "I am only the messenger" style.
  - iii. Balanced Approach style. Earn and maintain credibility. Be honest if you don't know or cannot comment.
- h) Remove personal bias from decision making.
- i) Accepting others work ethics / work styles. Recall that there is more than one right way to do something.
- j) How to determine if you are meeting the base (which is set by the group) or setting the bar (consider if all will achieve). Expectations have to be easy to meet.

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3. Activity: (20 mins) Scenarios: Divide class into 4-5 groups giving each a scenario. Provide time for each table to review and then time for full class discussion.
  - a) SO seen at the grocery store in a state vehicle.
  - b) PO drops state car off at ADOT for service and ADOT found a beach towel, sunscreen and bottle of whiskey in the trunk.
  - c) Office gossip - how to handle without an ethics violation
  - d) Phone call from parent of a juvenile offender
  - e) Officer involved shooting
4. Communication: Determine how this differs from stakeholders to upper management to your staff. Differences amongst the groups and amongst individuals.

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#### ***UNIT 4 (2 hours)***

##### ***Modeling and Evaluating Evidence Based Practices***

#### **Learning Objectives**

Participants will be able to discuss the history of Evidence Based Practice globally and locally.

Participants will be able to identify key processes within Evidence Based Practices that impact the effectiveness of case plans.

Participants will be able to identify the four most significant criminogenic needs.

#### **Content**

1. Discuss the History of Evidence Based Practices globally and locally.  
(Consider a video that describes the history of EBP, perhaps a segment of a television show that is the opposite of EBP).
  - a) Economic and Medical Models
  - b) Focus on Serving the Community
  - c) Acknowledge EBP Training done on the Adult side – and to be done on the juvenile side
  - d) How do we measure officer utilizing EBP / MI?
    - i. Observing office visits and assessments
    - ii. JOLTS/APETS reviews
  - e) How do we, as supervisors, model EBP / MI?
  - f) Line supervisors “carry” EBP for their department. You are charged with ensuring each officer receives appropriate training and that it is being implemented accurately.
2. Review the principles of Evidence Based Practices.  
Begin with a discussion about building rapport. How do we expect officers to build rapport with offenders? How do supervisors build a rapport with their staff?

**Allow supervisors to provide ideas about how they use each of the 8 principles in their jobs/departments. Ensure that each of the below are covered.**

- a) Assess Actuarial Risk / Needs
  - i. Are assessments done in a timely manner
    1. Assessment – Within 30 days of placement on probation or initial release from custody.
    2. Reassessment – Administered every 180 days.
  - ii. Quality of the assessment – occasionally need to watch officer do the assessment
- b) Enhance Intrinsic Needs

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- i. Must observe to ensure that effective communication techniques are being used
  - ii. Read chronological entries
- c) Target Interventions
  - i. Read Case Plans
  - ii. Read chronological entries about case plan progress or regress
  - iii. Read monthly treatment reports
  - iv. Is the officer putting together a complete picture of the offender's needs?
- d) Skill Train with Directed Practice
  - i. Supervisor observe PO with offenders
    - 1. Evaluate the officers ability to build rapport
  - ii. Brainstorm on tough cases
  - iii. Use unit meetings to do refreshers on topics (MI, developing case plans, etc)
  - iv. Real-Play vs. Role-Play
- e) Increase Positive Reinforcement
  - i. Assess officer's use of positive reinforcement (observing interviews, reading case notes)
  - ii. Observe officer's interviews and interactions
    - 1. Written vs. verbal positive reinforcement.
    - 2. Verbal to offender (private and/or public)
    - 3. Letter to employer, placement, relative (somebody important to the offender) stating progress and positive improvement
  - iii. Use of incentives (generate list to begin discussion – add to the list as the discussion progresses)
    - 1. Bus passes
    - 2. Corporate / restaurant coupons
    - 3. Movie tickets
    - 4. Grocery stores
    - 5. St Vincent de Paul, Salvation Army for clothes
- f) Engage On-going Support in Communities
  - i. Bridge relationships with stakeholders
  - ii. Faith-based assistance (utilities, clothing, transportation)
- g) Measure Relevant Practices: QA tools
  - i. Case File Reviews
  - ii. Compare case file reviews (previous and current). Is progress being made?
  - iii. Employee evaluations – how often are they done? Do you examine the professionalism of officers?
- h) Provide Measurement Feedback



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- i. Provide immediate feedback – when you observe an assessment or a contact, do you discuss with the officer what they thought was good? What could have been improved? Do you offer your thoughts on these questions?
  - ii. How timely is your feedback?
  - iii. Discuss what we've asked officers to do with offenders. Are we modeling the same? How?
  - iv. What people skills are we using?
  - v. What professional boundaries do you have with your staff that you expect them to have with their offenders?
3. Activity: Each table is assigned one of the eight principles. Use a scenario (or allow each group to utilize their own staff examples – names redacted). The group must come up with a solution that has not already been discussed in this session.
  - a) Encourage each table to discuss and then share with the class how you would assess, manage and promote each principle?
    - i. (With yourself, your staff and the offenders under your purview)
  - b) Continue the discussion by adding a color with each principle. How would you handle this situation with a Blue? Green? Gold? Orange?
  - c) Wrap up the discussion talking about supervision with a purpose rather than just surveillance. How can these principles equate from Supervisor to PO as we expect it to from PO to offender?

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#### ***UNIT 5***

##### ***Case Planning (30 minutes)***

#### **Learning Objectives**

Participants can articulate why assessment tools are necessary for good case planning.

Participants can demonstrate an ability to interpret assessment data and assign a ward/defendant to an appropriate level of supervision and services.

Participants will be able to identify the components of an effective case plan.

#### **Content**

The Case Plan is a blue print of how you are going to supervise each case.

Every contact should be driven by the case plan.

1. Assessment tools and the data they produce.
  - a) This is the foundation for the case plan. They must be done with fidelity and supervisors must measure that they are used to develop individual goals.
    - i. Offender Screening Tool (OST)
    - ii. Detention Screening Tool
    - iii. Arizona Risk/Need Assessment Instrument (AZYAS)
    - iv. Standardized Program Evaluation Protocol (SPEP)
2. Interpreting the data and incorporating it into a good case plan.
  - a) Prioritize domains based on score
  - b) How do you see the tree through the forest? As a supervisor, how do you determine that the correct domains are identified to create CP goals and strategies?
    - i. Talk to the officer
    - ii. Read through case notes
    - iii. Don't assume that how you would prioritize is the right way – engage in “the why” with the officer
  - c) How do you get buy in?
  - d) Expectations of Overrides / Underrides
    - i. Staffing – who is involved
    - ii. Documenting
3. How is a good case plan developed?
  - a) Begins with a good assessment.
  - b) How do you make sure it is SMART? If not, how do you address it with the officer?
  - c) Addressing the goal of “I want to get off probation” so the strategy becomes “I will follow my terms and do everything my PO tells me.”
  - d) Is the case plan a behavioral change plan and not reiteration of terms?

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#### **4. Executing the Case Plan**

- a) Monthly reports. Do you use them as a tool? Where on the report is information about case plan goals? One county puts them first prior to employment, CR hours, and financials, etc.
- b) Field Sheets. Are the CP goals on each? How does your officer ensure that quality contacts are not limited to office visits?

#### **Optional Activity:**

Participants begin with reviewing case plans that may be difficult to write. Next offer the corresponding assessment and allow time for each table to critique both. Lastly, provide case notes that shed new light on the situation.

Wrap up the activity by discussing how easy it is to jump to conclusions.

Ex: A supervisor questioned a PO about his probationer not paying delinquent fees, which was the only reason he was still on probation. The supervisor asked the PO why he is not working with the offender on obtaining employment. Medical issues were noted in the file, but not specified. The PO shared that the probationer was literally losing limbs due to a flesh eating disease and was unable to work. The supervisor could then assist in the decision to terminate this probationer from this supervision.

#### **Share Resource:**

The Probation and Parole Treatment Planner

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#### **UNIT 6** (1 hour) **Case Management**

#### **Learning Objectives**

Participants can identify tools and resources that can assist officers with effective case management.

#### **Content**

1. Auditing a caseload and quality assurance

a) Managing “bean counting”

To best serve the probationer, the victim, and the community

- i. CR hours
- ii. Restitution/Fines/Fees
- iii. DNA
- iv. Demographics

b) Managing EBP – is the case appropriately supervised? Are interventions and strategies targeted correctly?

**Activity** – Ask the class to share examples of cases that appear to be appropriately written, but were not working for the offender. Then discuss:

- i. Appropriate Interventions – Consider conviction offense. Examine risk, need and responsivity. Determine whether treatment or education is needed. What level? Are gender specific or age specific treatment or education groups available?
- ii. Is the probationer appropriately supervised? Be aware that some officers have a preference of contacts being only in the office or only in the field. Is there an appropriate balance? Are offenders over or under supervised? Are the home and field contacts appropriate (and in accordance with department policy and code)?
- iii. Are officers rubber stamping the case plan? Have you posted a great CP on your door/bulletin board and all PO's now emulate that example.
- iv. What is the probationer learning? If the goal is employment, is the PO considering a probationer's hygiene and appearance while filling out applications? What are the probationer's interview presentation skills? What training is needed to be learned before the probationer can successfully obtain a job?

c) What tools do you use to review cases?

- i. Electronic Files
- ii. Hard Files
- iii. Checklist (new cases, audits, transfer cases)
  1. Observation – this can occur in the office, at court, in detention, other agency interventions. Remember:
    - a. Ride along with officers. What should you evaluate? When you are in the field, you are an officer, not a supervisor. Act as a

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secondary officer and observe. Do not introduce yourself as a supervisor. We are in the field for the probationer – as a task in our job description – Are you attentive to the environment? Safety first. Case plan second.

- b. Follow department policy – make sure you are properly equipped. Do not open yourself up to a lawsuit. Remember that you set the example.
- c. Critique back at the office.
- d. Consider allowing DT instructors to do field assessments instead of, or in addition to, the supervisor

d) Absconder Case – treat it the same as you would an active case.

e) Communication – is it appropriate in the following areas:

- i. Offender – do case notes indicate that case plan discussions occur? That the offender buys-in?
- ii. Other Agencies / Stakeholders / Court
- iii. Family Members / Collaterals
- iv. Peers
- v. How do you address inappropriate communication (verbal and written)?

**Activity** – Offer each table group 10-15 minutes to share situations where they have struggled with an employee experiencing communication difficulties. How did they handle the situation? What worked? What did not?

f) Organization –

- i. File Requirements: DNA, demographics, address change, fines, fees, and/or restitution (especially cases scheduled for closure in the next few months), signatures on CP, etc.
  - 1. Tools: Post-it-notes, outlook calendar, spreadsheets, tabs, new officers observing veteran officers to learn styles.
  - 2. Red Flags: How do you know if a PO is not filing in a timely manner? Are you observing whether case notes are entered on-time (48 hours juvenile, 72 hours adult)
  - 3. Interventions: Assigning office space and hours (especially virtual employees), Assigning a mentor,
- ii. Time Management – see above.

g) Documentation – if it's not written down, it didn't happen.

- i. Write as if five years from now you got called to the witness stand to testify on a case. How will you recall why you made certain decisions? Are collateral identified as to how they are related to the case? (i.e. Vanessa, the treatment provider, my supervisor – instead of Bob, Tom the CR placement contact)

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2. Activity: (Workgroup will create a video to be viewed by the class). Provide an example of a case note to each participant to read silently. Show the video, which will correspond to the case note that participants just read. Critique as to whether or not you have a clear picture of what is going on with the offender. What would be said about these case notes if an attorney examined them five years from now?